

08/08/01 1c904 U.S. PTO

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Approved for use through 10/31/2002. OMB 0651-0032  
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# UTILITY PATENT APPLICATION TRANSMITTAL

(Only for new nonprovisional applications under 37 CFR 1.53(b))

Attorney Docket No. TJK/190/L.W.  
First Inventor Byoung-Youp KIM et al  
Title METHOD OF FORMING A MOCVD-TIN  
Express Mail Label No. EL873842689US

## APPLICATION ELEMENTS

See MPEP chapter 600 concerning utility patent application contents.

- ☒ Fee Transmittal Form (e.g., PTO/SB/17)  
(Submit an original and a duplicate for fee processing)
- ☒ Applicant claims small entity status.  
See 37 CFR 1.27.
- ☒ Specification [Total Pages 15]  
(preferred arrangement set forth below)
  - Descriptive title of the invention
  - Cross Reference to Related Applications
  - Statement Regarding Fed sponsored R & D
  - Reference to sequence listing, a table, or a computer program listing appendix
  - Background of the Invention
  - Brief Summary of the Invention
  - Brief Description of the Drawings (if filed)
  - Detailed Description
  - Claim(s)
  - Abstract of the Disclosure
- ☒ Drawing(s) (35 U.S.C. 113) [Total Sheets 5]
- Oath or Declaration [Total Pages 2]
  - ☒ Newly executed (original or copy)
  - ☐ Copy from a prior application (37 CFR 1.63 (d))  
(for continuation/divisional with Box 18 completed)
    - ☐ **DELETION OF INVENTOR(S)**  
Signed statement attached deleting inventor(s) named in the prior application, see 37 CFR 1.63(d)(2) and 1.33(b).
- ☐ Application Data Sheet. See 37 CFR 1.76

ADDRESS TO: Assistant Commissioner for Patents  
Box Patent Application  
Washington, DC 20231

- ☐ CD-ROM or CD-R in duplicate, large table or Computer Program (Appendix)
- Nucleotide and/or Amino Acid Sequence Submission (if applicable, all necessary)
  - ☐ Computer Readable Form (CRF)
  - Specification Sequence Listing on:
    - ☐ CD-ROM or CD-R (2 copies); or
    - ☐ paper
  - ☐ Statements verifying identity of above copies

## ACCOMPANYING APPLICATION PARTS

- ☒ Assignment Papers (cover sheet & document(s))
- ☐ 37 CFR 3.73(b) Statement (when there is an assignee) ☒ Power of Attorney
- ☐ English Translation Document (if applicable)
- ☐ Information Disclosure Statement (IDS)/PTO-1449 ☐ Copies of IDS Citations
- ☒ Preliminary Amendment
- ☒ Return Receipt Postcard (MPEP 503) (Should be specifically itemized)
- ☐ Certified Copy of Priority Document(s) (if foreign priority is claimed)
- ☐ Nonpublication Request under 35 U.S.C. 122 (b)(2)(B)(i). Applicant must attach form PTO/SB/35 or its equivalent.
- ☒ Other: \*Checks for \$40.00 & \$355.00

18. If a CONTINUING APPLICATION, check appropriate box, and supply the requisite information below and in a preliminary amendment, or in an Application Data Sheet under 37 CFR 1.76:

☐ Continuation ☐ Divisional ☐ Continuation-in-part (CIP) of prior application No.: \_\_\_\_\_

Prior application information: Examiner \_\_\_\_\_ Group Art Unit: \_\_\_\_\_

For CONTINUATION OR DIVISIONAL APPS only: The entire disclosure of the prior application, from which an oath or declaration is supplied under Box 5b, is considered a part of the disclosure of the accompanying continuation or divisional application and is hereby incorporated by reference. The incorporation can only be relied upon when a portion has been inadvertently omitted from the submitted application parts.

## 19. CORRESPONDENCE ADDRESS

☐ Customer Number or Bar Code Label (Insert Customer No. or Attach bar code label here) or ☒ Correspondence address below

Name Timothy J. Keefer  
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Country U.S.A. Telephone 312/201-2000 Fax 312/201-2555

Name (Print/Type) Timothy J. Keefer Registration No. (Attorney/Agent) 35567  
Signature [Signature] Date 8/8/01

Burden Hour Statement: This form is estimated to take 1.2 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Box Patent Application, Washington, DC 20231.

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09/927003  
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**FEE TRANSMITTAL  
for FY 2001**

Patent fees are subject to annual revision.

**TOTAL AMOUNT OF PAYMENT**

(\$) 395.00

**Complete if Known**

Application Number

Filing Date

First Named Inventor

Byoung-Youp KIM et al

Examiner Name

Group Art Unit

Attorney Docket No.

TJK/190/L.W.

**METHOD OF PAYMENT**

- 1.
- ☐
- The Commissioner is hereby authorized to charge indicated fees and credit any overpayments to:

Deposit  
Account  
Number

232126

Deposit  
Account  
NameWildman, Harrold,  
Allen & Dixon☒ Charge Any Additional Fee Required  
Under 37 CFR 1.16 and 1.17☒ Applicant claims small entity status.  
See 37 CFR 1.27

- 2.
- ☒
- Payment Enclosed:**

☒ Check ☐ Credit card ☐ Money  
Order ☐ Other**FEE CALCULATION****1. BASIC FILING FEE**

Large Entity Small Entity

Fee Fee Fee Fee Fee Description  
Code (\$) Code (\$) Code (\$)

101 710 201 355 Utility filing fee

106 320 206 160 Design filing fee

107 490 207 245 Plant filing fee

108 710 208 355 Reissue filing fee

114 150 214 75 Provisional filing fee

Fee Paid  
355.00**SUBTOTAL (1)** (\$) 355.00**2. EXTRA CLAIM FEES**

|                    |    |              |         |   |                |          |
|--------------------|----|--------------|---------|---|----------------|----------|
| Total Claims       | 18 | Extra Claims | -20** = | X | Fee from below | Fee Paid |
| Independent Claims | 1  |              | -3** =  | X |                |          |
| Multiple Dependent |    |              |         |   |                |          |

Large Entity Small Entity

Fee Fee Fee Fee Fee Description  
Code (\$) Code (\$) Code (\$)

103 18 203 9 Claims in excess of 20

102 80 202 40 Independent claims in excess of 3

104 270 204 135 Multiple dependent claim, if not paid

109 80 209 40 \*\* Reissue independent claims  
over original patent110 18 210 9 \*\* Reissue claims in excess of 20  
and over original patent**SUBTOTAL (2)**

(\$) 0

\*\*or number previously paid, if greater; For Reissues, see above

**FEE CALCULATION (continued)****3. ADDITIONAL FEES**

| Fee Code | Large Entity (\$) | Fee Code | Small Entity (\$) | Fee Description  | Fee Paid |
|----------|-------------------|----------|-------------------|--|----------|
| 105      | 130               | 205      | 65                | Surcharge - late filing fee or oath  |          |
| 127      | 50                | 227      | 25                | Surcharge - late provisional filing fee or cover sheet                     |          |
| 139      | 130               | 139      | 130               | Non-English specification  |          |
| 147      | 2,520             | 147      | 2,520             | For filing a request for <i>ex parte</i> reexamination                     |          |
| 112      | 920*              | 112      | 920*              | Requesting publication of SIR prior to Examiner action                     |          |
| 113      | 1,840*            | 113      | 1,840*            | Requesting publication of SIR after Examiner action                        |          |
| 115      | 110               | 215      | 55                | Extension for reply within first month                                     |          |
| 116      | 390               | 216      | 195               | Extension for reply within second month                                    |          |
| 117      | 890               | 217      | 445               | Extension for reply within third month                                     |          |
| 118      | 1,390             | 218      | 695               | Extension for reply within fourth month                                    |          |
| 128      | 1,890             | 228      | 945               | Extension for reply within fifth month                                     |          |
| 119      | 310               | 219      | 155               | Notice of Appeal   |          |
| 120      | 310               | 220      | 155               | Filing a brief in support of an appeal                                     |          |
| 121      | 270               | 221      | 135               | Request for oral hearing   |          |
| 138      | 1,510             | 138      | 1,510             | Petition to institute a public use proceeding                              |          |
| 140      | 110               | 240      | 55                | Petition to revive - unavoidable   |          |
| 141      | 1,240             | 241      | 620               | Petition to revive - unintentional   |          |
| 142      | 1,240             | 242      | 620               | Utility issue fee (or reissue)   |          |
| 143      | 440               | 243      | 220               | Design issue fee   |          |
| 144      | 600               | 244      | 300               | Plant issue fee  |          |
| 122      | 130               | 122      | 130               | Petitions to the Commissioner  |          |
| 123      | 50                | 123      | 50                | Processing fee under 37 CFR 1.17(q)  |          |
| 126      | 180               | 126      | 180               | Submission of Information Disclosure Stmt                                  |          |
| 581      | 40                | 581      | 40                | Recording each patent assignment per property (times number of properties) | 40.00    |
| 146      | 710               | 246      | 355               | Filing a submission after final rejection (37 CFR § 1.129(a))              |          |
| 149      | 710               | 249      | 355               | For each additional invention to be examined (37 CFR § 1.129(b))           |          |
| 179      | 710               | 279      | 355               | Request for Continued Examination (RCE)                                    |          |
| 169      | 900               | 169      | 900               | Request for expedited examination of a design application                  |          |

Other fee (specify) \_\_\_\_\_

\*Reduced by Basic Filing Fee Paid

**SUBTOTAL (3)** (\$) 40.00**SUBMITTED BY**

Name (Print/Type)

Timothy J. Keefer

Registration No.

(Attorney/Agent)

35567

Complete (if applicable)

Telephone

312/201-2000

Signature

Date

5/8/01

**WARNING: Information on this form may become public. Credit card information should not be included on this form. Provide credit card information and authorization on PTO-2038.**

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09/927003  
08/08/01

**CERTIFICATE OF EXPRESS MAILING**

I hereby certify that this correspondence is being deposited with the United States Postal Service by Express Mail No. EL873842689US in an envelope addressed to the Assistant Commissioner for Patents, Washington, D.C. 20231, on August 8, 2001.

Date: 8/8/01

Signed: Melissa Parady

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